



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES**  
**LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

3650 SCHRIEVER AVENUE  
MATHER, CALIFORNIA 95655  
(916) 327-3672  
FAX: (916) 327-5674



April 11, 2007

To: PROJECT DIRECTOR  
FAMILY VIOLENCE PREVENTION PROGRAM (FVPP)

Subject: Fiscal Year (FY) 2007/2008 REQUEST FOR APPLICATIONS (RFA)

The Governor's Office of Emergency Services (OES) is please to announce the allocation of **\$147,000** for FY 2007/08 to the Family Violence Prevention Program (FVPP). Only the existing FVPP is eligible to apply. The allocation is subject to the availability of funds and final executive approval.

Enclosed in this package, please find the instructions for submitting your agency's application and forms, and the projected budget allocation amounts for FY 07/08. Please note that these are provisional monetary amounts, which are contingent upon approval and authorization by the federal funding sources and the FY 07/08 State Budget Act. If the projected funding level changes, you will be notified and asked to revise and submit a new budget indicative of the changed amounts.

Please note that the accurate, timely, and complete submission of the information requested in this RFA will expedite the timely processing of your application. Below are some of the more common error areas that have the tendency to delay or prevent expeditious processing of grant applications.

- Original signatures by designated individuals in the correct section of the form;
- Line-item detail is required for each budget item, along with the justification for how the item ties to the objectives and activities of the Domestic Violence Assistance Program grant;
- Mathematical calculations/formula's should accurately reflect the line-item expenses.

**Changes in the FVPP RFA:**

- **New interactive hyperlink access:** This document is designed to be interactive electronically with fill able forms. However, users will need to use Adobe Acrobat 7.0 in order to save the text of their applications. Users will be able to complete and print forms using Adobe Reader 7.0, but will be unable to save their completed forms without Adobe Acrobat 7.0.

- **Online Fill able Forms:** The forms are now available online, however they are not included in the RFA package. To access the forms, please see the instructions at the top of RFA, FVPP Checklist and Required Sequence form. You may click on [\(FORMS\)](#) to get the link to the list of forms or go to [www.oes.ca.gov](http://www.oes.ca.gov) and select Forms.
- **2008 Conference Reserve Funds:** The Victim Services Branch (VSB), DV Section is planning a conference for Spring 2008. All projects must include sufficient per diem and travel funds for persons to attend the 2008 OES sponsored DV conference. Please budget a minimum of \$1000 (one-thousand dollars) for registration and travel fees for each attendee. If several staff will be attending the conference, please budget for the total number of persons. Information regarding the conference will be released under separate cover.
- **Mileage Rate:** As previously noticed the state's allowable charge for mileage has been increased to a maximum of 48.5 cents per mile. Up to this amount (.48.5) is an acceptable rate for a privately owned vehicle that is utilized for project-related business

It is necessary to complete the enclosed materials and submit them to the Office of Emergency Services by **5:00 p.m. on Friday, May 14, 2007**. The application must either be date stamped as having been received at OES on or before that date or be postmarked on or before that date. Address the application to:

Office of Emergency Services  
3650 Schriever Avenue  
Mather, CA 95655  
**ATTN: DOMESTIC VIOLENCE SECTION**  
**FAMILY VIOLENCE PREVENTION PROGRAM**

If you have any questions regarding this RFA, please contact the Domestic Violence Section at (916) 327-3672.

Sincerely,

*ORIGINAL SIGNATURE ON FILE AT OES*

LISA LACY, Chief  
Domestic Violence Section  
Victims Service Division

Enclosures

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**FAMILY VIOLENCE PREVENTION PROGRAM (FVPP)  
REQUEST FOR APPLICATION**

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- IV. **FORMS** - Click (FORMS) to get the required forms listed below, **or** go to [www.oes.ca.gov](http://www.oes.ca.gov) and select *Recipient Handbook, Appendices, and Forms*, **or** paste the following link into your browser:  
**[www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm](http://www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm)**

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**FAMILY VIOLENCE PREVENTION PROGRAM (FVPP)  
REQUEST FOR APPLICATION**

**PART I – INFORMATION**

**A. INTRODUCTION**

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and can be accessed at the website [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "*Recipient Handbook Appendices and Forms*."

**B. CONTACT INFORMATION**

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the below contact person by telephone, fax, or e-mail.

**C. APPLICATION DUE DATE AND SUBMISSION OPTIONS**

***One original and one copy*** of the application must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by Monday, May 14, 2007**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: FAMILY VIOLENCE PREVENTION PROGRAM –VICTIM  
SERVICES BRANCH, Domestic Violence Section

2. Hand delivered by **5:00 p.m. on Monday, May 14, 2007** to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: FAMILY VIOLENCE PREVENTION PROGRAM –VICTIM  
SERVICES BRANCH, Domestic Violence Section

#### **D. ELIGIBILITY**

The only eligible applicant is the currently funded Family Violence Prevention (FV) project, Marin Abused Women's Services

#### **E. FUNDS**

##### **1. Grant Award Period, Award Amount, and Match**

The grant period begins July 1, 2007, and ends June 30, 2008. It is anticipated that \$147,000 in State and Family Violence Prevention Services Act (FVPSA) funds will be made available for FY 2007/08. The grantee must budget for a 12 month period. In addition, the State general fund requires a 10% match, and the Health and Human Services FVPSA funds require a 20% match, which provides a total projected sum of \$176,250 (see chart below), for the FVPP grant.

FV Project	State General Fund	State General Fund Match	FVPSA Funds	FVPSA Fund Match	Total Project Cost
Total	\$50,000	\$5,000	\$97,000	\$24,250	<b>\$176,250</b>

##### **2. Source and Use of Funds**

###### **a. State General Funds**

In 1985, California Penal Code Section 13823.4 established that FV (Attachment A). Funds must be used as follows: Sixty percent (60%) for development and implementation of model programs protocols and materials (\$30,000); and forty percent (40%) for dissemination of model program protocols and materials that can be replicated by domestic violence entities (\$20,000). These funds require a ten percent (10%) match.

###### **b. Family Violence Prevention and Services Act (FVPSA) Funds**

Title III of the Child Abuse Amendments of 1984 (referred to as FVPSA) was first implemented in 1986, and amended by Public Law 104-235, the Child Abuse Prevention and Treatment Act of 1996. The purpose of this legislation is to assist states, American Indian Tribes, and tribal organizations to establish, maintain, and expand programs and projects to prevent family violence and provide shelter/assistance for family violence victims and their dependants. These funds require a twenty percent (20%) match based on total project cost.

#### **F. PROGRAM INFORMATION**

The purpose of the FV project is to: 1) develop, implement and/or disseminate model program protocols and materials for replication by domestic violence entities; and 2) maintain and expand programs/projects to prevent family violence and assist family violence victims and their dependants. Additional goals include continuing: collecting and disseminating statewide, model protocols for intervention systems; providing training to agencies in dealing with family violence prevention; functioning as a clearinghouse and resource center for family violence prevention information, including a website developed for this purpose; and providing assistance to domestic/family violence centers to implement family violence prevention programs.

## **G. PREPARING AN APPLICATION**

Part IV - Forms includes an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

Please provide the nine required application components in the order listed below:

- Application Cover Sheet;
- Grant Award Face Sheet (OES A301);
- Project Contact Information;
- Certification of Assurance of Compliance;
- Signature Authorization and Instructions;
- Project Narrative;
- Budget Narrative and the Project Budget (OES A303a-c);
- Project Service Information; and
- Application Appendix (refer to Part II, C.).



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**FAMILY VIOLENCE PREVENTION PROGRAM  
REQUEST FOR APPLICATION**

**PART II – INSTRUCTIONS**

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in *Recipient Handbook, Appendices, and Forms* ([FORMS](#)) and plain 8½" x 11" white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to OES standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the OES pre-formatted pages.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind application.***

**A. PROJECT NARRATIVE**

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

**1. Problem Statement**

This section is not required for this RFA

**2. Plan and Implementation**

**A. Objectives and Activities (double-space requirement does not apply)**

The four mandatory objectives are provided below. Activities must be included that:

- Describe the steps necessary to achieve the Objective,
- Indicate staff responsible for the Activity,
- Describe the types of source documentation that will be kept on file in order to accurately report the project's progress in achieving the objectives/activities.

List Objectives on the left side of the page and Activities on the right side. The example below shows the correct format and components; objective listed and staff titles are for illustration purposes only.

Objective 1 - Statewide Technical Assistance:

Activities: (example)

1. Provide statewide technical assistance to 150 members/service

- 1.1 Project Director will hire and train Project Coordinator by 08/1/07.

providers/clients from 07/01/07 to 06/30/08.

- 1.2 Project Coordinator will develop written policies and procedures for agency staff by 08/21/07.
- 1.3 Project Coordinator will train 3 Technical Assistance Specialists, including lead/senior staff, to provide technical assistance to members/service providers/clients by 9/15/07.
- 1.4 Lead/Senior Technical Assistance Specialist will develop PSA to advertise and promote types of technical assistance availability by 10/2/07.

**The mandated objectives are:**

**Objective 1**

MAWS TC-TAT will prioritize training and product needs as an outcome of the deliverables achieved under the current FY 2006/07 grant with OES. This information will be provided to OES.

**Objective 2**

Conduct a comprehensive scan/needs assessment with key collaborators on the Advisory Committee such as The California Partnership to End Domestic Violence and the Family Violence Prevention Fund, to determine if the priorities determined in Objective 1 above are separate and distinct from the priorities of our collaborators in order to avoid duplication of effort.

Once a list of unduplicated priorities is established, TC-TAT will plan for their completion through work internally and/or through collaboration with other agencies and/or through outsourcing.

**Objective 3**

Prioritize the expansion of the prevention website with the products developed to date. These include current day tools of training and technical assistance as well as ensuring posting of the tools to be developed in the future as deliverables of this project.

**Objective 4**

From the needs assessment done in the course of achieving the deliverables of TC-TAT's partnership with OES and the critical analysis found in the *Catalyst* publication, create a model five-year plan for future prevention, training, and product strategies that reduce the level of domestic violence in California. This objective must be completed by June 30, 2008.

**B. Board of Director's List**

The Appendix must contain a current Board of Director's roster listing the name, professional affiliation, address, phone number and email address for each current board member.

## **B. PROJECT BUDGET**

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. The applicant may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, the applicant should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program, ensure the successful and cost effective implementation of the project. Failure of the applicant to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov). Select “*Recipient Handbook, Appendices, and Forms*” for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page 1- subsection B of this RFA should you have additional budget questions.

### **1. Budget Narrative**

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe:

- How the applicant’s proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

### **2. Specific Budget Categories**

There is an Excel Workbook in *Recipient Handbook, Appendices and Forms* ([FORMS](#)) with spreadsheets for each of the following three budget categories:

- Personal Services – Employee Salaries/Benefits;
- Operating Expenses; and
- Equipment.

The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the amount of each line item and match

in the correct column of the Budget Category form. Please note that each budget line item formula and the amount should reflect the exact cost. The spreadsheet will add each addition and round off the nearest whole dollar. You may add extra rows if necessary, the spreadsheets total at the end of each budget category and total the three spreadsheets at the bottom of the last page (Equipment). The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

**a. Personal Services – Salaries/Employee Benefits (OES A303a):**

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. These may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) the Operational Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

**b. Operating Expenses (OES A303b):**

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of

less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise these call under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during an OES site visit, monitoring visit, or audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses category.

Spring, 2008, the OES Domestic Violence Section is planning a conference, entitled "Partnering to End Domestic Violence." This conference will be held in place of the normal DV regional training and/or Project Directors meeting. All projects must include sufficient per diem and travel funds for persons to attend the 2008 OES sponsored DV conference. Please budget a minimum of \$1000 (one-thousand dollars) for registration and travel fees for each attendee. Although the fees may result in a lesser amount, we would like to ensure that there is reserve funding to attend the conference. If several staff will be attending the conference, please budget for the total number of persons. Information regarding the conference will be released at a later date.

**c. Equipment (OES A303c):**

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

**C. APPLICATION APPENDIX**

The Application Appendix provides OES with additional information from the applicant to support components of the application. The following must be included:

- Operational Agreements: *OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period.* This document must demonstrate a formal system of networking and coordination with other agencies and the applicant. A sample OA is provided in *Recipient Handbook, Appendices, and Forms* ([FORMS](#)).
- Project Summary
- Noncompetitive Bid Justification-Contracts for Services Checklist (if applicable); and
- Noncompetitive Bid Justification- Contracts for Goods Checklist (if applicable).
- Emergency Fund Procedures
- Computer and Automated Systems Purchase Justification Guidelines
- Board of Directors List

# **FAMILY VIOLENCE PREVENTION PROGRAM REQUEST FOR APPLICATION**

## **PART III – ADDITIONAL INFORMATION**

The applicant is strongly encouraged to review the following sections in preparing the application.

- A. Finalizing the Grant Award Agreement
- B. Administrative Requirements
- C. Budget Policy
- D. Glossary of Terms

### **A. FINALIZING THE GRANT AWARD AGREEMENT**

#### **1. Standard Project Funding Authority**

**Allocation of funds is contingent on the enactment of the State Budget.** OES does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

#### **2. Grant Award Conditions**

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by OES.

#### **3. Grant Award Agreements**

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The recipient is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received and the State Budget is finalized, the Report of Expenditures and Request for Funds (OES 201) may be submitted for reimbursement.

#### **4. Grant Award Amounts**

When the amount of funds available is limited, OES may reduce the amount of the grant award from the amount requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

### **B. ADMINISTRATIVE REQUIREMENTS**

#### **1. The Recipient Handbook (RH)**

The *Recipient Handbook* is accessible on the OES Internet website at [www.oes.ca.gov](http://www.oes.ca.gov) by selecting “*Recipient Handbook, Appendices and Forms*.” The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

The information below may be cross referenced with the *Recipient Handbook* (RH) by referencing the handbook section number.

#### **2. Internet Access (RH 11500)**

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the terms of the program.

#### **3. Progress Reports and Data Collection (RH 10100)**

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

#### **4. Monthly/Quarterly Report of Expenditures and Request for Funds (OES 201) (RH 6300)**

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (OES 201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form OES 201 will result in the withholding of funds and may result in the recommendation to OES' Executive Director for termination of the grant award.

#### **5. Technical Assistance/Site Visits (RH 10300)**

Funding projects are assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement.

New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

**6. Monitoring Requirements (RH 10400)**

A monitoring visit is an onsite assessment by OES staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

**7. Bonding Requirements (RH 2160)**

Private community-based organizations (CBO) and American Indian organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of OES-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

**8. Audit Requirements (RH 8100)**

Recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the *RH* Section 2234.

**9. Copyrights, Rights in Data, and Patents (RH 5300)**

OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

**10. Source Documentation (RH 10111)**

Recipients are required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the terms of the



program. Recipients will be required to have written job descriptions on file for positions funded by OES detailing specific grant-related activities to achieve project objectives.

## **C. BUDGET POLICY**

This document summarizes information on OES Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov) by selecting “*Recipient Handbook, Appendices and Forms*.”

### **1. Supplanting Prohibited (RH 1313)**

Grant funds must be used to supplement existing funds for program activities and **not replace** funds appropriated for the same purpose. A written certification must be provided to OES indicating the grant funds will not be used to supplant existing funds. Supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1313 of the *Recipient Handbook*.

### **2. Project Income (RH 6610)**

Project income such as client fees and fees for services provided by the project (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds unless otherwise specified in the RFA instructions.

### **3. Contract and Procurement (RH 3400)**

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by OES program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000, which requires prior OES approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. OES will provide assistance in submitting a noncompetitive bid request if OES determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

### **4. Match Policies (RH 6500)**

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match specified in the budget will become part of the grant award. (Specific instructions for calculating the match are provided in Sections 6550 – 6550.2 of the *Recipient Handbook*.)

## 5. **Travel Policies**

The following is OES' current travel policy:

### a. **Selection of Travel Policy (RH 2236)**

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

#### 1) Units of Government

Units of government may use their own written travel policy or the state policy.

#### 2) Community-Based Organizations (CBO)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

### b. **State Travel Policy (RH 2236.2)**

Use the following state travel policy for budgeting travel expenses:

#### 1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for OES approval.

#### 2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 48.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

#### 3) Meals and Incidentals

##### a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

##### b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

Total is \$40.00 for a 24-hour period.

4) Lodging

The maximum allowed lodging rate is \$84.00, plus applicable taxes (except as noted below). Lodging receipts are required for reimbursement.

5) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

6) Other

Taxi, airport shuttle, etc. which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

**6. Participating Staff**

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the operating expenses category of the grant budgets.

**7. Consultant Services (RH 3710)**

Consultant services are provided on a contractual basis by individuals or organizations not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or,
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

**a. Rates**

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation for over \$250 per hour requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government can not provide services without this cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

**b. Expert Witness Fees (RH 3710.2)**

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT), Medical Doctor (MD)];
- rate of pay per hour, including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation);
- justification for why this cost cannot be paid with county funds (attach the justification to OES A303b).

**8. Facility Rental (RH 2232)**

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

**a. Rental Space for Training and Counseling Rooms**

Rental space for training and individual and/or group counseling rooms may also be charged to the grant providing the charge is based on actual costs and not reimbursed by other source.

**9. Rented or Leased Equipment (RH 2233)**

An explanation and cost analysis is required when equipment rented or leased. This analysis must demonstrate it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by OES prior to the execution of a rental or lease agreement.

**10. Indirect Costs/Administrative Overhead (RH 2220)**

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by the applicant for indirect costs if allowable by the funding source.

**11. Audits (RH 8150)**

OES projects expending \$25,000 or more of OES grant awards are required to complete and audit. The project may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- if the total amount of the grant is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total amount of the grant is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

**12. Equipment (RH 2300)**

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

**a. Allowable Expenses**

Equipment may be budgeted if it is essential to the implementation of the project and to be used solely for project activities. Grant funds may not be used to reimburse the project for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness. Prior approval by OES is required.

**b. Computers (RH 2340)**

1) Community-Based Organization (RH 2242.1)

Community-based organization may budget up to \$25,000 in computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by OES is required. The Recipient will be sent instructions for preparing the justification.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required. The Recipient will be sent instructions for preparing the justification.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. The Recipient will be sent instructions for preparing the justification.

**c. Automobiles (RH 2331)**

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobiles usage during work hours. A cost analysis for automobile purchase as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by OES's program staff during a site visit, monitoring visit, and/or audit.

**13. Prohibited Expense Items (RH 2240)**

**a. Lobbying (RH 2242)**

Refer to RH 2242.1 for an extensive list of prohibited activities.

**b. Fundraising (RH 2243)**

OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

**c. Real Property and Improvements (RH 2244)**

Real property including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

**d. Interest (*RH 2245*)**

The cost of interest payments is not an allowable expenditure unless the cost is a result of a lease/purchase agreement.

**e. Food and Beverages (*RH 2246*)**

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

**f. Weapons and Ammunition (*RH 2247*)**

The cost of weapons and/or ammunition of any type are not an allowable expenditures unless they are part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

**g. Membership Dues (*RH 2248*)**

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

**h. Professional License (*RH 2248*)**

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

**i. Annual Professional Dues or Fees (*RH 2248*)**

The cost of professional dues or fees are not allowable expenditures unless it is part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

**j. Charges, Fees and Penalties (*RH 2245*)**

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

**k. Depreciation (*RH 2249*)**

Equipment costs may not include additional costs calculated for depreciation.

## GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or action a project takes to achieve a measurable objective.
Application	Once selected for funding, the original proposal and additional forms as required by OES becomes the application. This application, once signed by the OES director or designee and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A documented, tax exempt, nonprofit, public benefit corporation serving the community. This term is used synonymously with nonprofit organization.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan analyzing the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed agreement between OES and the local government agency or organization authorized to accept grant funding.
Grant Award Forms	The forms needed to prepare an application or proposal. They may be accessed on the OES website under " <i>Recipient Handbook, Appendices and Forms</i> " ( <a href="#">FORMS</a> )
Grant Funding Cycle	The number of years a program <b>may</b> be funded without soliciting a new competitive Request for Proposal. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA) which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Noncompetitive Bid Contract	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization	A documented, tax exempt, nonprofit, public benefit corporation serving the community. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.



Term	Definition
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project, including the transfer of grant funds when appropriate. This includes MOUs, Letters of Intent, etc.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of law enforcement or victim services and supported by an appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a funded state or local government agency or CBO.
Proposal	The packet of information and forms required by the RFP and submitted to OES which specifies the priorities, strategies and objectives of the applicant.
Recipient	The agency or organization designated on the Grant Award Face Sheet which receives the grant funds and who will be responsible for accomplishing the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Recipient Handbook	This handbook outlines the administrative and fiscal terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these conditions. The <i>Recipient Handbook</i> is accessible on the OES website at <a href="http://www.oes.ca.gov">www.oes.ca.gov</a> by selecting "Recipient Handbook, Appendices, and Forms."
Request for Application (RFA)	The RFA is a packet of instructions and forms issued by OES to obtain applications from applicants through a noncompetitive process.
Request for Proposal (RFP)	The RFP is a packet of instructions and forms issued by OES to solicit competitive proposals in order to select projects for funding.
Supplanting	Supplanting is the deliberate reduction of federal, state, or local funds due to the existence of OES funds thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, OES policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.